

|   |                        |                                     |
|---|------------------------|-------------------------------------|
| <b>NEW UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><i>(only for new nonprovisional applications under<br/>37 CFR 1.53(b))</i> | Attorney Docket Number | 12477-08982                         |
|   | First Named Inventor   | Peter Gefer                         |
|   | Title                  | Ion Generation Method and Apparatus |
|   | Express Mail Label No. | EV 442674335 US                     |

| APPLICATION ELEMENTS   | ACCOMPANYING APPLICATION PARTS   |
|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<br>2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27<br>3. <input checked="" type="checkbox"/> Specification <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 0 5px;">18</span></span><br><i>(preferred arrangement set forth below)</i><br><input type="checkbox"/> Descriptive Title of the Invention<br><input type="checkbox"/> Cross Reference(s) to Related Case(s)<br><input type="checkbox"/> Statement Regarding Fed sponsored R & D<br><input type="checkbox"/> Background of the Invention<br><input type="checkbox"/> Brief Summary of the Invention<br><input type="checkbox"/> Brief Description of the Drawing(s)<br><input type="checkbox"/> Detailed Description<br><input type="checkbox"/> Claim or Claims<br><input type="checkbox"/> Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">Total Sheets <span style="border: 1px solid black; padding: 0 5px;">3</span></span><br>5. Combined Declaration & Power of Attorney<br>a. <input checked="" type="checkbox"/> New Declaration <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 0 5px;">3</span></span><br><input checked="" type="checkbox"/> Executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 18 completed)</i><br>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br>Signed statement attached deleting inventor(s)<br>named in the prior application, see 37 CFR<br>1.63(d)(2) and 1.33(b).<br>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>8. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority<br/>is claimed)</i><br>9. <input type="checkbox"/> Power of Attorney or Authorization of Agent<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement<br>11. <input type="checkbox"/> Preliminary Amendment<br>12. <input type="checkbox"/> Information Disclosure Statement & PTO/SB/08A<br><input type="checkbox"/> Copies of IDS Citation(s)<br>13. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122<br>(b)(2)(B)(i). Applicant must attach form<br>PTO/SB/35 or its equivalent<br>14. <input checked="" type="checkbox"/> Return Postcard<br>15. <input type="checkbox"/><br>16. <input type="checkbox"/><br>17. <input type="checkbox"/> |
| <b>ADDRESS TO:</b><br>Mail Stop Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450   |  |

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number

**00758**

|                   |                        |                                   |        |
|-------------------|------------------------|-----------------------------------|--------|
| Name (Print/Type) | Albert C. Smith        | Registration No. (Attorney/Agent) | 20,355 |
| Signature         | <i>Albert C. Smith</i> | Date                              | 1/8/04 |

# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 479

## Complete if Known

Application Number Not Yet Known  
Filing Date April 8, 2004  
First Named Inventor Peter Geffer  
Examiner Name Not Yet Known  
Art Unit Not Yet Known  
Attorney Docket No. 12477-08982

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account:

Deposit Account Number 19-2555

Deposit Account Name Fenwick & West LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge all required fee(s) or any underpayment of fee(s) due under 37 CFR §1.16 or §1.17 during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid        |
|---------------------|----------|----------|----------|------------------------|-----------------|
| 1001                | 770      | 2001     | 385      | Utility filing fee     | 385             |
| 1002                | 340      | 2002     | 170      | Design filing fee      |                 |
| 1003                | 530      | 2003     | 265      | Plant filing fee       |                 |
| 1004                | 770      | 2004     | 385      | Reissue filing fee     |                 |
| 1005                | 160      | 2005     | 80       | Provisional filing fee |                 |
| <b>SUBTOTAL (1)</b> |          |          |          |                        | <b>(\$)</b> 385 |

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 23                 | -20** = 3    | 18             | = 54     |
| Independent Claims | 3            | -3** = 0       | = 00     |
| Multiple Dependent |              |                | = 00     |

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description   |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| 1202                  | 18                    | 2202                  | 9                     | Claims in excess of 20                                    |
| 1201                  | 86                    | 2201                  | 43                    | Independent claims in excess of 3                         |
| 1203                  | 290                   | 2203                  | 145                   | Multiple dependent claim, if not paid                     |
| 1204                  | 86                    | 2204                  | 43                    | **Reissue independent claims over original patent         |
| 1205                  | 18                    | 2205                  | 9                     | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$)

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 1051                  | 130                   | 2051                  | 65                    | Surcharge - late filing fee or oath  |          |
| 1052                  | 50                    | 2052                  | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053                  | 130                   | 1053                  | 130                   | Non-English specification  |          |
| 1812                  | 2,520                 | 1812                  | 2,520                 | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804                  | 920*                  | 1804                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                  | 1,840*                | 1805                  | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 1251                  | 110                   | 2251                  | 55                    | Extension for reply within first month                                     |          |
| 1252                  | 420                   | 2252                  | 210                   | Extension for reply within second month                                    |          |
| 1253                  | 950                   | 2253                  | 475                   | Extension for reply within third month                                     |          |
| 1254                  | 1,480                 | 2254                  | 740                   | Extension for reply within fourth month                                    |          |
| 1255                  | 2,010                 | 2255                  | 1,005                 | Extension for reply within fifth month                                     |          |
| 1401                  | 330                   | 2401                  | 165                   | Notice of Appeal   |          |
| 1402                  | 330                   | 2402                  | 165                   | Filing a brief in support of an appeal                                     |          |
| 1403                  | 290                   | 2403                  | 145                   | Request for oral hearing   |          |
| 1451                  | 1,510                 | 1451                  | 1,510                 | Petition to institute a public use proceeding                              |          |
| 1452                  | 110                   | 2452                  | 55                    | Petition to revive - unavoidable   |          |
| 1453                  | 1,330                 | 2453                  | 665                   | Petition to revive - unintentional   |          |
| 1501                  | 1,330                 | 2501                  | 665                   | Utility issue fee (or reissue)   |          |
| 1502                  | 480                   | 2502                  | 240                   | Design issue fee   |          |
| 1503                  | 640                   | 2503                  | 320                   | Plant issue fee  |          |
| 1460                  | 130                   | 1460                  | 130                   | Petitions to the Commissioner  |          |
| 1807                  | 50                    | 1807                  | 50                    | Processing fee under 37 CFR 1.17(g)  |          |
| 1806                  | 180                   | 1806                  | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 8021                  | 40                    | 8021                  | 40                    | Recording each patent assignment per property (times number of properties) | 40       |
| 1809                  | 770                   | 2809                  | 385                   | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                  | 770                   | 2810                  | 385                   | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801                  | 770                   | 2801                  | 385                   | Request for Continued Examination (RCE)                                    |          |
| 1802                  | 900                   | 1802                  | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3)** (\$)

\*Reduced by Basic Filing Fee Paid

### SUBMITTED BY

| Name (Print/Type) | Albert C. Smith | Registration No. (Attorney/Agent) | 20,355 | Complete (if applicable) | Telephone (650) 335-7296 |
|-------------------|-----------------|-----------------------------------|--------|--------------------------|--------------------------|
| Signature         | A.C. Smith      |                                   |        | Date                     | 4/8/04                   |

|   |                      |                                     |              |
|---|----------------------|-------------------------------------|--------------|
| <b>NONPUBLICATION REQUEST<br/>UNDER<br/>35 U.S.C. 122(b)(2)(B)(i)</b> | First Named Inventor |                                     | Peter Gefter |
|   | Title                | Ion Generation Method and Apparatus |              |
|   | Atty Docket Number   |                                     | 12477-08982  |

I hereby certify that the invention disclosed in the attached application **has not been and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

4/8/04

Date

Albert C. Smith

Signature

Albert C. Smith, Reg. No. 20,355

Typed or printed name, Reg. No.:

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**